



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

PATENT

#9  
7/29/03

In re Application of:

Henry J. Pepin

Serial No.: 10/034,697

Examiner: K. Thompson

Filed: December 27, 2001

Group Art Unit: 3763

For: CATHETER INCORPORATING A CURABLE POLYMER LAYER TO  
CONTROL FLEXIBILITY AND METHOD OF MANUFACTURE

Docket No.: 1001.1460101

**RECEIVED**

JUL 28 2003

TECHNOLOGY CENTER R3700

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE OF  
EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 C.F.R. § 1.97(c))**

**CERTIFICATE UNDER 37 C.F.R. § 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to:  
Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450  
on this 21st day of July 2003.

By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. § 1.56, the documents listed on the attached Form PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first office

action on the merits, whichever event occurred last but before the mailing date of either a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, whichever occurs first.

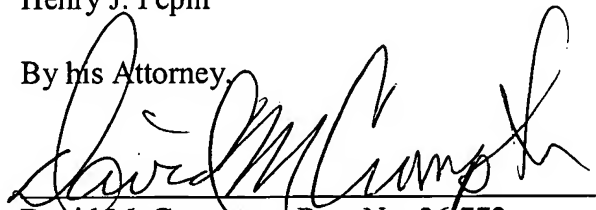
Accompanying this Information Disclosure Statement is a certification under 37 C.F.R. § 1.97(e)(1).

Respectfully submitted,

Henry J. Pepin

By his Attorney,

Date: 7/21/03



David M. Crompton, Reg. No. 36,772  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



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**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT  
(37 C.F.R. § 1.97(e)(1))**

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Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450  
on this 21st day of July 2003.

By

*David M. Crompton*  
David M. Crompton

Dear Sir:

This certification is being made for the Information Disclosure Statement accompanying this certification.

**CERTIFICATION**

I, the person signing below, certify the each item of the information contained in the Information Disclosure Statement submitted herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement (37 C.F.R. § 1.97(e)(1)). I further state that the aforementioned

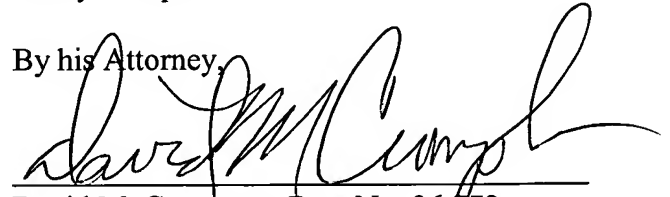
foreign communication was not received by any individual designated in § 1,56(c) more than thirty (30) days prior to the filing of the Information Disclosure Statement.

The person making this certification is a person who is the attorney who signs below on the basis on the information in the attorney's file.

Respectfully submitted,

Henry J. Pepin

By his Attorney,

A handwritten signature in black ink, appearing to read "David M. Crompton", written over a horizontal line.

David M. Crompton, Reg. No. 36,772  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349

Date: \_\_\_\_\_

7/21/03



3763

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Henry J. Pepin

Serial No.: 10/034,697

Examiner: K. Thompson

Filed: December 27, 2001

Group Art Unit: 3763

For: CATHETER INCORPORATING A CURABLE POLYMER LAYER TO  
CONTROL FLEXIBILITY AND METHOD OF MANUFACTURE

Docket No.: 1001.1460101

**TRANSMITTAL SHEET**

**RECEIVED**

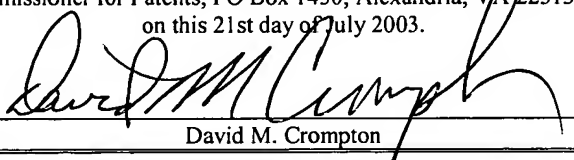
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TECHNOLOGY CENTER R3700

Sir:

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on this 21st day of July 2003.

By   
David M. Crompton

We are transmitting herewith the attached:

- [ ] Amendment  
[ ] No additional fee required  
[ ] The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X 9=	\$	X 18=	\$
INDEPENDENT CLAIMS	-	=		X 42=	\$	X 84 =	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+ 140 =	\$	+ 280 =	\$
TOTAL				\$		\$	

[ ] A check in the amount of \$\_\_\_\_\_ is enclosed. Itemization:

Fee Code \_\_\_\_\_ \$

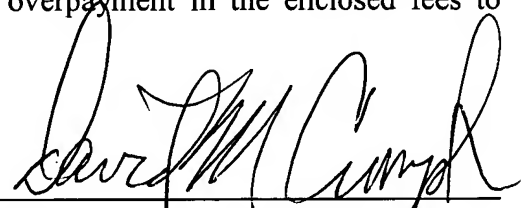
Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

[ ] Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established.

[ XX ] Other: INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 C.F.R. § 1.97 (c)), CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT (37 C.F.R. § 1.97(e)(1)), FORM PTO-1449, AND THREE CITED REFERENCES.

[XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:   
David M. Crompton, Reg. No. 36,772

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